



Implementation Support Document
ISD 311-1.0

Manual for Preparing Policies, Procedures, and Related Documents

Los Alamos National Laboratory

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Introduction

Summary

This Implementation Support Document (ISD) is a **companion Manual** for IMP 311, [Institutional Policies Implementation Procedures, and Related Documents](#). This Manual provides details on preparing Los Alamos National Laboratory (LANL) policies and procedures. LANL policies and procedures are found on the LANL [Policy Center](#) Website .

Purpose

LANL policies and procedures are prepared and revised using the **formal process** described in IMP 311. The purpose of this Manual is to help LANL authors prepare policy and procedure documents or revisions according to IMP 311. This Manual provides step-by-step directions for Tier 1, 2, and 3 documents. See box.

Overview – Policies

LANL follows a **three-tiered hierarchy** of policy and procedure documents. For information on LANL's system of policy and procedures, see [Introduction](#), *Policy and Procedures Manual (P&PM)*.

- **Tier 1** provides a high-level framework that governs Tiers 2 and 3.
- **Tier 2** includes policies, procedures, supporting documents, notices, or instructions that apply to everyone in the institution, or to broad cross-organizational functions.
- **Tier 3** gives a greater level of detail through work instructions that apply to specific organizations, programs, facilities, types of work, or types of workers. Tier 3 documents do not apply to the institution as a whole.

LANL policies and procedures are issued within the **span of control of the Issuing Authority (IA)**, who is the manager with the authority to direct the work that the policy or procedure governs. If the IA is an Associate Director (AD) or higher level manager, the IA may delegate responsibility for preparing the document to a Responsible Manager (RM) who is a division level manager or higher. The IA or RM may task an office with subject matter expertise, called a Responsible Office (RO), to assist with preparing the document, but the RO does not have approval authority. See IMP 311.

LANL uses a **four-step process** to prepare and issue policy and procedure documents. See Figure 1. For more information on the four-step process, see IMP 311.

Figure 1 – Four Step Process



The **University of California (UC)** has review and approval authority for LANL policies or procedures that pertain to personnel issues or change the terms and conditions of employment. This Manual does not cover that process. Contact the Policy Office (POL) for assistance with UC coordination.

Terms used in this Manual are as defined in [Definition of Terms](#), P&PM.

The **Director** is the IA for this Manual; however this authority is delegated to the Deputy Director. The Policy Office Director is the RM, and POL is the RO. Contact POL for assistance regarding this document. POL is at 505-665-4965 or policy@lanl.gov.

Change Control

POL administers the formal change control process for revising this Manual.

- POL will make changes following the four-step process in IMP 311, with endorsement by the IA.
- If proposed revisions to this ISD would substantially change how Tier 1, Tier 2, or Tier 3 documents are prepared, approved, or issued, POL will circulate the proposed revisions to affected organizations for review and comment for at least six working days.
- POL will request the IA to endorse substantive revisions only after comments have been considered and issues, if any, resolved.
- POL has the authority to make corrections or minor revisions to this ISD at any time.

LANL policy documents:

Tier 1:

GP Governing Policies

Tier 2:

IP Institutional Policy

IMP Implementation Procedure

IPP Combined Institutional Policy and Procedure

N Notice

DI Director's Instruction

ISD Implementation Support Document

Tier 3:

WI Work Instruction (Also may use other titles)

Chapter 1 – General Procedures

Overview

These general procedures **apply to Tier 1, 2, and 3 documents**. Policies and procedures help workers meet requirements specified by law, regulation, the prime contract, or UC policies and directives, and implement standards, process improvements, best practices, or institutional choices. LANL documents must be written so that they are easy to understand, not ambiguous, and provide directions that workers can implement.

Responsibilities

A LANL **manager who has the authority** to direct an aspect of work may issue a policy or procedure to help carry out that work. That manager becomes the issuing authority, or IA. The IA is responsible for:

- the content of a policy or procedure
- following the coordination and approval process described in IMP 311
- ensuring that the document remains current over time

An IA may **delegate** the task of preparing a policy or procedure to an RM at the division level or above, but may not delegate the authority to issue it. An IA may ask another manager to assist by serving as a champion for the preparing and implementing the document.

An IA must obtain the **endorsement** of the next higher-level manager before issuing a policy, procedure, or related document. If the endorser agrees that implementing the document would be in the best interest of the institution and the best use of LANL resources, then the IA may issue the document.

- For Tier 1 and 2 documents**, the endorser is the Executive Board (EB). The EB may ask the Principal Deputies' Council (PDC), the Institutional Assurance Board (IAB), or a similar body with EB representation, for assistance in reviewing content and implementation impacts.
- For Tier 3 documents**, the endorser is the IA's manager. Endorsement is waived if the IA is an Associate Director (AD), Program Director, or Responsible Division Leader (RDL). For other IAs, the endorser may waive endorsement on either a standing basis or case-by-case consideration.

Responsible Parties

IA Issuing Authority
RM Responsible manager
RO Responsible Office
Endorser IA's next higher level manager, or above

Table 1 – Institutional Policies and Procedures: Applicability, Issuing Authority, Endorser, and Content

Document	Applies to	Issued by	Endorsed by	Content
Tier 1 – Governing Policies				
GP	Institution	Director	EB	Institutional policy framework .
Tier 2 – Institutional Policies and Procedures				
IP	Institution	Director or other EB member	EB	Defines what people are expected to do.
IMP	Institution	Director or other EB member	EB	Defines how work must be performed. May also provide guidance.
IPP	Institution	Director or other EB member	EB	Combines policy and procedure into one document.
ISD	Institution, or as specified	Director or other EB member	EB	Provides supporting information , procedures, standards, or guidance for an IP, IMP, or IPP.
Notice	As specified	RM or higher level manager	AD or higher	Temporary instruction or guidance in response to a specific situation or urgent condition.
DI	As specified	Director	Not needed	Policy or policy-related instruction , procedure, guidance, or information.
Tier 3 – Organizational, Facility, or Functional Procedures				
WI (may use other titles)	As specified	Line or program manager (group level or above) or Facility Manager or Operations Manager	Next higher manager May be waived if: IA is an AD, Program Director, or RDL, or on case-by-base or standing basis	<p>Explains how Tier 2 documents will be carried out within the organization, or</p> <p>Provides detailed instruction or guidelines on how to perform specific aspects of work, or</p> <p>Defines specific standards, measures, criteria, or acceptable methods to meet expected results or work practices.</p> <p>May adopt industry standards or practices.</p>

Impact of implementation

Prior to submitting a Tier 1 or 2 document for endorsement the IA (or RM, if delegated this authority by the IA) **must justify** that issuing and implementing the document would be in the best interests of the institution. By endorsing the document, the endorser indicates agreement with the justification.

Legal issues

The IA or RM must be sure that issuing and implementing the document would be within the bounds of law, or otherwise legally permissible. Contact the Office of Laboratory Counsel (LC) for assistance.

Cost

The IA or RM must consider the cost of implementing the policy or procedure. Contact the Office of the Chief Financial Officer (CFO) for assistance.

Science

The IA or RM must consider whether implementing the document would have a positive or detrimental effect to carrying out LANL's science mission. Contact the Chief Science Office (CSO) for assistance.

Contract issues

The IA or RM must consider whether issuing and implementing the document would be permissible under the UC prime contract. If not permissible, the IA or RM must consider whether to request a modification to the prime contract. Contact the Prime Contract Office (PCO) for assistance.

Nuclear facility safety – Unresolved Safety Questions (USQ)

The IA or RM must consider whether issuing the document would affect the safety basis for any nuclear facilities. The IA or RM must notify the Responsible Division Leader (RDL) for any nuclear facility that would be affected, and consider RDL input as part of the evaluation of the impact of issuing and implementing the document. Contact the Performance Surety Division, Safety Basis Office (PS-4), for assistance.

Price Anderson Amendments Act – PAAA

The IA or RM must consider whether issuing the document would have nuclear safety implications related to Price Anderson Amendments Act (PAAA) enforcement. Contact the Technical Services Directorate (ADTS) PAAA Office for assistance.

Training

The IA or RM must consider whether implementing the actions in the proposed document would require workers to have specific training or special certification. If new training would be required, the IA or RM must determine what it would be and the funding source for developing, presenting, or obtaining the training. Contact the Performance Surety Division, Training Integration Office (PS-TIO) for assistance.

Personnel considerations

UC must approve policies and procedures pertaining to personnel management. In addition, policies or procedures that would change the terms and conditions of employment may be subject to the provisions of the California Higher Education Employer-Employee Relations Act (HEERA). In that case, LANL must notify employees that the change is planned and make the document available for employee review prior to its effective date. Contact LC or the Human Resources Division, Staff Relations Group (HR-SR) for assistance.

Writing

Plain language

Authors must write policies and procedures in “plain language.” Plain language tips:

- Write in the active voice.
- Use action verbs.
- Use “must” and “will” instead of “shall.”
- Use the present tense.
- Use examples.
- Use simple words.
- Use short sentences.

For more information on plain language, see [Plain Language](http://www.plainlanguage.gov) (<http://www.plainlanguage.gov>) or the [Federal Register Document Drafting Handbook](#)

(http://www.archives.gov/federal_register/document_drafting_handbook/document_drafting_handbook.html)

Authors are asked to avoid including extraneous material such as:

- Voluminous background information (prepare a white paper)
- Repeating text from laws, regulations, DOE orders, or industry standards (include a link)
- Repeating text from other UC or LANL policies or procedures (include a link)
- Justification of the need or benefit of the document (include in the “Justification;” see Form 2087)
- Appending other documents (incorporate by reference, and include a link)

POL reserves the right to remove extraneous material, and insert links to material found elsewhere.

Policy Center

The [Policy Center](#) website is LANL’s institutional source for current policies and procedures. The Policy Center is available to the general public through the LANL external (“green”) website. POL will publish Tier 1 and 2 documents on the Policy Center (subject to classification or other restrictions). POL may publish Tier 3 documents on the Policy Center if requested by the issuing manager. The author must provide POL with the electronic file (MSWord) of the final document as issued.

Document numbers

POL assigns Tier 1 and Tier 2 document numbers consistent with the P&PM [Table of Contents](#). Notices are numbered sequentially by publication date. DIs are numbered sequentially by FY at the time the DI goes into final concurrence. ISDs are numbered to correlate to the main document it supports.

Content

LANL policies and procedures provide **direction** that must be followed, unless the document (or sections of it) specifically calls out optional (non-mandatory) guidance.

- **Requirements** – actions directed by law, regulation, the prime contract, or UC must be followed regardless of whether LANL has issued corresponding policies or procedures.
- **Policies** – define *what* LANL will do to execute requirements or best management practices.
- **Procedures** – specify *how* LANL workers will implement policies or requirements.
- **Standards** – define specific measures, criteria, or acceptable methods to meet expected results or work practices. Authors must use UC or industry standards unless there is a prevailing institutional interest to modify or deviate from them.
- **Guidance or guidelines** – provide non-mandatory supplemental information about acceptable methods for implementing procedures, practices, standards, or work instructions. Guidance may include suggested practices or instructions, suggested performance measures, or options.

Classification and document marking

Authors are responsible for classification reviews when needed, and marking sensitive documents. The IA or RM must ensure that documents are properly reviewed and marked, as appropriate, for:

- Classification and Unclassified Controlled Nuclear Information (UCNI)
- Official use
- Proprietary information
- Other document access designations

The IA must follow the process in IMP 311 when preparing classified or other protected documents, including providing POL with a copy of the final document along with the appropriate administrative record. POL will protect documents in accordance with their markings.

Availability of policies

POL will make current Tier 1 and Tier 2 documents available to workers and the general public on the [Policy Center](#), unless the IA makes alternative arrangements with POL. POL maintains a record copy of prior policy documents. Contact POL for access. **Exception:** POL will limit access to classified material or documents otherwise marked for limited access. Please note that improperly marking documents, or failing to mark documents, does not affect the ability of the public to access them under the Freedom of Information Act or similar statutes.

- The IA must advise POL how classified or other restricted documents will be made available and to whom. POL will post the title of the document, short unclassified summary, and the conditions for access on the [Policy Center](#).
- The IA must advise POL if a sensitive document is to be made available only to LANL workers or other authorized viewers. In that case, POL can place the document on the internal (“yellow”) network, which would require CryptoCard access to view the document from the external site.
- If a document is not classified, proprietary, official, or has access restrictions for some other reason, the IA may not withhold the document from the [Policy Center](#).

Chapter 2 – Procedures for Tier 1 Documents: Governing Policies

Tier 1 documents

Tier 1 consists of the Governing Policies (GPs). This set of high-level intuitional policies provides the basis for how LANL executes its work to meet mission assignments within the framework of law, regulations, and contract requirements. GPs are issued by the Director and establish expectations for behaviors and actions that apply to all LANL workers and work.

Content, GP

GPs are very brief and provide high-level expectations of worker performance. Each GP is one paragraph. For an example of a GP, see P&PM, [Governing Policies](#).

Responsible
Parties:
Tier 1 – GP

IA Director
RM POL Dir.
RO POL
Endorser EB

Preparing and issuing a GP

GPs are prepared and issued by the Director's Office, and are revised on a case-by-case basis. POL or the IA documents the concurrence and approval process required by IMP 311 on [Form 1824](#), Director's Office *Signature/Review/Coordination*. POL reviews GPs every three years, or more frequently, to ensure that they remain current.

Table 2 – Preparing and issuing Tier 1 documents (GPs)

Step	Who	What	How
1 - Initiate			
	Director	Directs development.	Advises POL.
2 - Prepare			
	POL	Prepares text.	For Director's approval.
3 - Endorse			
	EB	Agrees that GPs are in the best interest of the institution.	EB meeting.
4 - Issue			
a	Director	Decides whether to: <ul style="list-style-type: none"> Accept GP or Reject GP. 	Notify EB and POL.
b	Director	Signs (issues) GP.	Signs document.
c	POL	Publishes GP.	On Policy Center .

Table 3 – Revising Tier 1 documents (GPs)

Step	Who	What	How
1 - Initiate			
	Director or EB member	Identifies need for revision.	Advises POL.
2 - Prepare			
a	POL or EB member	Proposes specific wording and justification.	Use Form 1824.
b	Director	Accepts proposed text.	
3 - Endorse			
	EB	Agrees that revision is in the best interest of the institution.	EB meeting.
4 - Issue			
a	Director	Decides whether to: <ul style="list-style-type: none"> Accept proposed revision or Reject revision. 	Notify EB and POL.
b	Director	Signs (issues) revised GP.	Signs document.
c	POL	Publishes revised GP.	On Policy Center .

Chapter 3 – Procedures for Tier 2 Documents: Institutional Policies

Tier 2 Documents – Institutional Policies

An Institutional Policy (IP) directs **what** workers are expected to do. Unless otherwise stated, IPs apply to the institution as a whole. However, IPs also may apply to broad cross-organizational functions.

Content, IP

For an example of an IP, see P&PM, [IP 310, Work Execution](#). An IP is expected to be 5 pages or less.

Table 4 – Content, Institutional Policies (IPs)

Section	Content
Title	Succinctly captures the main point of the IP.
Summary	A short overview of the document. Three sentences or less.
Authority and Applicability	States the authority that allows the IA to issue this document. Identifies the IA , RM , if any, and RO if applicable. States to whom , and what work, the IP applies. States the effective date (issue date or later; may include key milestones).
Purpose	States why the IA is issuing the IP, and what the IP is intended to accomplish. May provide performance measures, if applicable.
Policy	Clearly states what the policy is. The preferred form is: “ It is the policy of Los Alamos National Laboratory to... ” but other phrases are acceptable if it is clear that the policy is that of the institution as a whole.
History	Revision history of document. Other documents if modified, superseded or rescinded by the IP.
References	List of references, if any.
Attachments	List of attachment, if any.

Responsible Parties:
Tier 2 – IP

IA Director or EB member

RM Relevant DL

RO Relevant group (optional)

Endorser EB

Preparing and issuing an IP

Who: IPs are prepared and issued by an AD or other EB member. The IA (AD) may delegate responsibility to prepare the document to an RM, but not the authority to approve the document. The IA or RM may enlist the assistance of an RO for subject matter expertise.

When: The RM or IA may propose a new IP at any time. In addition, any LANL employee may propose a new IMP at any time. Triggers for a new IP may be external (such as a new law) or internal (such as implementing a best practice).

How: The IA or RM documents coordination and concurrence required by IMP 311 on [Form 2087, Step 2 Worksheet: Coordination and Justification, Institutional Policies and Procedures](#), and the IA documents approval of each step of the four-step process required by IMP 311 on [Form 2088, Approvals – Institutional Policies and Procedures](#). The IA may provide POL with equivalent documentation in lieu of Form 2087.

Table 5 – Preparing and issuing Institutional Policies (IPs)

Step	Who	What	How
1 - Initiate			
	Any employee	Develops idea, advances it through the employee's line management chain to the appropriate IA.	IA approves the idea, and authorizes RM to prepare the IP. IA signs Step 1, Form 2088.
2 - Prepare			
a	IA or RM	Informs POL that a new IP will be prepared.	Provide POL with a copy of Form 2088 with Steps 0 and 1 completed.
b	POL	Adds IP to the master schedule.	On-line.
c	IA, RM, or RO	Prepares text of proposed IP. Prepares justification for IP. Obtains coordination and concurrences required by IMP 311.	IA or RM uses Form 2087 (or equivalent). IA approves the content of the IP and its justification. IA signs Step 2, Form 2088.
3 - Endorse			
	EB	Agrees that implementing the IP would be in the best interest of the institution.	EB meeting (may use PDC, IAB, or similar). IA signs Step 3, Form 2088.

Table 5 – Preparing and issuing Institutional Policies (IPs)

Step	Who	What	How
4 - Issue			
a	IA	Decides whether to: ▪ Issue IP or ▪ Reject IP.	If rejects document, notifies RM, EB, and POL.
b	IA	Signs (issues) IP.	IA signs Step 4, Form 2088.
c	POL	Publishes IP. Retains documents of record. Enters IP onto master review calendar.	On Policy Center . POL records management process. POL internal scheduling process.

Revising an IP

Who: The IA is responsible for revising an IP. Any worker may recommend that an IP be revised or improved.

When: The IA, RM, or POL may initiate a revision at any time, in response to an internal or external trigger or an employee suggestion. The IA, or RM if delegated, must review the IP at least every three years in accordance with IMP 311.

How: The IA or RM normally prepares a revision using the same four-step process as for new documents, using [Form 2087](#) (or equivalent documentation) and [Form 2088](#). The IA, RM, or POL may make minor, non-substantive changes at any time, using “Quick Change” [Form 2089](#). POL has the authority to correct errors or make minor changes for formatting or consistency without using Form 2089.

Table 6 – Revising Institutional Policies (IPs)

Step	Who	What	How
1 - Initiate			
a	IA, RM, or POL or	May initiate a revision at any time.	IA approves the idea, and authorizes RM to revise the IP. IA signs Step 1, Form 2088 or IA or RM uses Form 2089 for Quick Change.
b	Any worker	Recommends an IP be revised or improved, and advances idea through the employee's line management chain to the appropriate IA.	
2 - Prepare			
a	IA, RM, or RO or	Prepares proposed revision and justification. Obtains coordination and concurrences required by IMP 311.	IA or RM uses Form 2087 (or equivalent). IA approves the revision and its justification. IA or RM clearly indicates changes made. IA signs Step 2, Form 2088.
b	IA, RM, or POL or	Agrees that minor, non-substantive changes are needed.	IA, RM or POL uses Form 2089 for Quick Change.
c	POL	Makes minor corrections.	Keeps file copy of revisions (ends process).
3 - Endorse			
a	EB or	Agrees that revising the IP would be in the best interest of the institution	EB meeting (EB may use PDC or IAB). IA signs Step 3, Form 2088.
b	IA	For minor, non-substantive changes, provides endorsement.	IA signs Step 3, Form 2089 for Quick Change.
4 - Issue			
a	IA	Signs (issues) revised IP.	IA signs Step 4, Form 2088 or Form 2089.
c	POL	Publishes revised IP. Retains documents of record.	On Policy Center . POL records management process.

Chapter 4 – Procedures for Tier 2 Documents: Implementation Procedures

Tier 2 Documents – Implementation Procedures

An Implementation Procedure (IMP) directs **how** workers are expected to carry out a law, regulation, contract provision, or IP. Unless otherwise stated, IMPs apply to the institution as a whole. However, IMPs also may apply to broad cross-organizational functions.

Content, IMP

For an example of an IMP, see P&PM, [IMP 311](#), *Institutional Policies, Implementation Procedures, and Related Documents*. An IMP is expected to be 10 pages or less.

Table 7 – Content, Implementation Procedures (IMPs)

Section	Content
Title	Succinctly captures the main point of the IMP.
Summary	A short overview of the document. Three sentences or less.
INTRODUCTION	
Authority and Applicability	<p>States the authority that allows the IA to issue this document.</p> <p>Identifies the IA, RM, if any, and RO as applicable.</p> <p>States the relationship of the IMP to other policy or procedure documents.</p> <ul style="list-style-type: none"> IMPs may derive from a GP, IP, a contract requirement, a UC policy or directive, or a process improvement, best practice, or institutional choice. The IMP must state the driver (why it is needed), and whether the driver is a contract requirement. <p>States to whom, and what work, the IMP applies.</p> <ul style="list-style-type: none"> By definition, an IMP applies to the institution as a whole; however: It may provide specific instruction to a defined function or set of workers. It may or may not apply to subcontract personnel, guests, visitors, or others.
Purpose	<p>States why the IA is issuing the IMP, and what implementing the IMP is intended to accomplish.</p> <ul style="list-style-type: none"> Why must the IMP be implemented? Why is this in the best interest of the institution? What are the performance expectations?
PROCEDURE	
Overview	Optional. Summarizes the procedure or provides a brief context.
Responsibilities	<p>Who is responsible for implementing the IMP, and what are they responsible for.</p> <ul style="list-style-type: none"> Worker. Manager. Others as needed. <p>These are limited to the functional responsibilities related to implementing this IMP, and not general statements or job descriptions.</p>
Procedure	<p>Step-by-step actions for implementing the IMP.</p> <ul style="list-style-type: none"> May include tables, figures, flow charts, or diagrams. May incorporate industry standards by reference. Detailed descriptions, formats, forms, or similar material may be placed in attachments or appendixes, an ISD, or moved to a Tier 3 document.
INSTRUCTIONS	
Training	<p>Training or certification needed to implement the IMP:</p> <ul style="list-style-type: none"> Specialized training. Certifications. Links to LANL or external training, if applicable. <p>If no special training is required, this section may be omitted.</p>
Requests for Exceptions or Variance	<p>Instructions for requesting and granting an exception or variance to the IMP:</p> <ul style="list-style-type: none"> An exception states that a procedure or a specific provision does not apply or does not have to be followed when implementing the action. A variance states that a manager or worker is allowed to change how a specific provision of a procedure will be implemented. <p>If no specific instructions are given for this IMP, the general process in IMP 311 will govern.</p> <ul style="list-style-type: none"> Under IMP 311, managers who have been formally delegated authority to grant exceptions or variance from a procedure will consider requests on a case-by-case basis and will grant requests only when shown to be in the best interests of the institution.

Responsible
Parties:
Tier 2 – IMP

IA Director
or EB
member

RM Relevant
DL

RO Relevant
group (op-
tional)

Endorser EB

	<ul style="list-style-type: none"> The Director has the authority to grant exceptions or variance to any LANL policy or procedure. Other managers may have authority to grant exceptions or variances to specific documents if delegated from the director. <p>If the IMP provides specific instructions, it must state:</p> <ul style="list-style-type: none"> How the authority to grant exceptions or variance was delegated from the Director. How a request will be submitted and considered.
Documents and Records	<p>Instructions for acquiring and maintaining records (hard copy or electronic) pertaining to this IMP.</p> <ul style="list-style-type: none"> Office of record for this IMP. List of documents, if any, that will be generated by implementing the IMP. Records management procedures for this IMP.
Definitions	<p>For common definitions or acronyms, reference Definition of Terms in the P&PM.</p> <ul style="list-style-type: none"> Submit updates to the P&PM definitions along with IMP. Include in the IMP technical definitions, abbreviations, or acronyms that pertain only to this IMP. Technical definitions may be linked to standards or other technical publications.
History	<p>List:</p> <ul style="list-style-type: none"> Any prior versions of the document (or predecessor documents) that are superseded or modified by the IMP. Any documents rescinded by the IMP.
References	<p>List of references, if any.</p> <ul style="list-style-type: none"> Include numbers, if any (e.g. IMP 311, DOE O 414.1) Use full titles. Include electronic links if available.
Forms	<p>List any forms that are to be used with the IMP, including existing forms or new forms.</p>
Attachments or Appendixes	<p>List:</p> <ul style="list-style-type: none"> Any attachments or appendixes that are considered part of the IMP. Any documents included by reference, and provide an electronic link or other access information.

Preparing and issuing an IMP

Who: IMPs, like IPs, are prepared and issued by an AD or other EB member. The IA (AD) may delegate responsibility to prepare the document to an RM, but not the authority to approve the document. The IA or RM may enlist the assistance of an RO for subject matter expertise.

When: The IA, RM, or POL may initiate a new IMP at any time. Any employee may suggest a new IMP at any time.

How: The IA or RM documents coordination and concurrence required by IMP 311 on [Form 2087, Step 2 Worksheet: Coordination and Justification, Institutional Policies and Procedures](#), and the IA documents approval of each step of the four-step process required by IMP 311 on [Form 2088, Approvals – Institutional Policies and Procedures](#). The IA may provide POL with equivalent documentation in lieu of Form 2087.

Initiate

The RM or IA may propose a new IMP at any time. Triggers for a new IMP may include:

- law
- regulation
- DOE Order
- UC policy or directive
- change in industry standards
- process improvement, best practice, or institutional choice
- employee suggestion

Any LANL employee may propose a new IMP at any time. The proposal, with rationale for why issuing the new IMP would be in the best interests of the institution, goes through the proposing employee's management chain to the RM and IA. (For example, employees would submit a proposal through their group leader to their division leader; the employee's division leader would forward the request to the RM, who would forward it to the IA.) Either the RM or the IA answers the employee to advise whether the suggestion has merit and will be considered further.

Prepare

The IA is responsible for the **content** of an IMP, but may be assisted by the RM or RO. The author must contact POL early in the preparation process to inform POL that the document is being prepared, and coordinate content and schedules. The author must focus on how to implement the IMP, and the IA or RM on the impacts of implementing the IMP, including the impacts of supplementing, superseding, or rescinding existing documents. The IA, or RM if delegated, is responsible for ensuring that the following are considered (see [Introduction](#)):

- Nuclear safety (contact PS-4 and PAAA)
- Employee training (contact PS-TIO)
- Contract issues (contact LC and PCO)
- Legal implications (contact LC)
- UC coordination (contact POL)
- Employee notification (contact LC or HR-SR)
- Cost of implementation (contact CFO)
- Impact on science (contact CSO)
- Other issues as appropriate

Before the IMP can be endorsed, LC, CFO, and CSO must concur, and POL must review for form and consistency with other documents.

The IA may obtain **worker input**. At the discretion of the IA, the RM or RO may convene a focus team, conduct a workshop, consult with a LANL council or committee, circulate the draft IMP for review and comment, or gain worker input in some other way. If review and comment is sought, the IA is obligated to consider comments received and address issues raised (may be delegated to RM). Upon request of the IA or RM, POL will circulate the draft IMP for review and comment. Whether or not worker input was sought, the means, and the IA's assurance that comments were considered and issues addressed becomes part of the administrative record for the IMP.

The **justification** must provide the rationale as to why issuing and implementing the IMP would be in the best interests of the institution. It is not intended to provide a justification of mission or funding sources. The following examples illustrate items the author might want to consider (see [Form 2087](#)):

- Who will implement the IMP? which organizations would be affected? types of workers?
- What facilities will be affected? any? all nuclear facilities? all facilities with chemical hazards?
- What new or special equipment will be needed? personal protective equipment? special valves?
- What are the risks (consequences) if the IMP is not implemented?
- How much will it cost to implement the IMP? initially? short-term / long-term? what is the level of effort? will there be a cost savings? where will the funds come from?
- What will be the impact on science (programmatic mission)? will it be beneficial?
- What issues will be of interest to the IA or the endorser? pros and cons? employee well-being?
- What other considerations apply to this IMP? community reaction?

Endorse

The IA must obtain EB endorsement. The EB may ask the PDC, IAB, or another council with EB representation to help consider the pros and cons of implementing the IMP. Endorsement means that the EB, acting as the governance body of the institution, agrees that implementing the IMP would be in the best interests of the institution, and that the EB agrees that the institution will bear the cost.

Issue

An IMP is issued when it is signed. The date of signature shown on the document must be the date it was signed. Normally Form 2088 is used to document the approval process; however, the IA may seek variance from the Director under extenuating circumstances and record approval in another way. In order to timely inform LANL workers of the IMP, the IA is responsible for providing POL as soon as possible with the original signed document, administrative record, and electronic version of the document as signed (normally within two working days).

Table 8 – Preparing and issuing Implementation Procedures (IMPs)

Step	Who	What	How
1 - Initiate			
a	IA or RM	May initiate new IMP at any time. IA agrees with proposal. or	IA agrees to commit resources to prepare IMP. IA authorizes RM to prepare the IMP. IA signs Step 1, Form 2088.
b	IA	IA rejects proposal.	Returns proposal to RM with instructions.
c	Any employee IA or RM	Develops idea, advances it through the employee's line management chain to the appropriate IA. Responds to employee suggestion and either: ▪ Agrees to consider further (step 1a) or ▪ Rejects idea and states why.	In writing (including e-mail). Written response (including e-mail).
2 - Prepare			
a	IA or RM POL	Informs POL that a new IMP will be prepared. Adds IMP to the master schedule.	Provide POL with a copy of Form 2088 with Steps 0 and 1 completed. On-line.
b	IA, RM, or RO	Prepares text of proposed IMP.	As appropriate.
c	IA, RM, or RO	Optional: gains worker input, documents issues raised and outcome. May ask POL to circulate draft IMP for review and comment.	IA or RM uses Form 2087 (or equivalent) Provide POL with electronic MSWord file of draft. POL uses internal process.
d	IA, RM, or RO	Prepares justification for IMP. Obtains coordination and concurrences required by IMP 311.	IA or RM uses Form 2087 (or equivalent)
e	RM IA	Submits proposed IMP and justification to IA. Accepts IMP and justification. or	IA or RM signs verification, Form 2087. RM signs Step 2, Form 2088. IA approves the content of the IMP and its justification. IA signs Step 2, Form 2088.
f	IA	IA rejects proposal.	Returns proposal to RM with instructions.
3 - Endorse			
a	IA or RM	Requests EB review and endorsement. Schedules EB review	Director's Form 1884 , <i>EB Decision Form</i> Include as read-ahead: ▪ Completed Form 2087(or equivalent) with justification. ▪ Form 2088 with Steps 0 - 2 signed. ▪ Proposed IMP. With Director's Office.
b	EB	Reviews read-ahead, Step 3a. EB may: ▪ Act through "consent calendar." ▪ Request a full presentation. Acts on request by consensus.	Records decision on Form 1884 (or equivalent).
c	EB IA or RM EB	EB may request that item be reviewed by the IAB or another council Schedules with IAB or other council May adopt endorsement of IAB or other council, or act per Step 3b.	Director's Office informs IA or RM. Per IAB or other council process. Director's Office informs IA or RM.
d	IA	Verifies EB endorsement.	Signs Step 3, Form 2088.
4 - Issue			
a	IA	Decides whether to: ▪ Issue IMP or ▪ Reject IMP.	If issues document, signs Step 4, Form 2088. If rejects document, notifies RM, EB, and POL.
b	IA or RM	Provides IMP and its administrative record to POL.	Provides ▪ Final hard-copy of document as issued by IA. ▪ Completed Form 2088 with all signatures. ▪ Completed Form 2087 with all signatures (or equivalent documentation). ▪ Electronic MSWord file of IMP as issued (signed).

Table 8 – Preparing and issuing Implementation Procedures (IMPs)

Step	Who	What	How
c	POL	Publishes IMP. Retains documents of record. Enters IMP onto master review calendar.	On Policy Center . POL records management process. POL internal scheduling process.

Revising an IMP

Who: The IA is responsible for revising an IMP. Any worker may recommend that an IMP be revised or improved.

When: The IA, RM, or POL may initiate a revision at any time, in response to an internal or external trigger or an employee suggestion. The IA, or RM if delegated, must review the IMP at least every three years in accordance with IMP 311.

How: The IA or RM normally prepares a revision using the same four-step process as for new documents, using [Form 2087](#) (or equivalent documentation) and [Form 2088](#). The IA, RM, or POL may make minor, non-substantive changes at any time, using “Quick Change” [Form 2089](#). POL has the authority to correct errors or make minor changes for formatting or consistency without using Form 2089.

Table 9 – Revising Implementation Procedures (IMPs)

Step	Who	What	How
1 - Initiate			
a	IA or RM	May initiate IMP revision at any time.	IA agrees to commit resources to revise IMP. IA authorizes RM to revise the IMP. IA signs Step 1, Form 2088 or IA or RM uses Form 2089 for Quick Change.
c	Any employee IA or RM	Recommends an IMP be revised or improved, and advances idea through the employee’s line management chain to the appropriate IA. Responds to employee suggestion and either: ▪ Agrees to consider further (step 1a) or ▪ Rejects idea and states why.	In writing (including e-mail). Written response (including e-mail).
2 - Prepare			
a	IA, RM, or RO or	Prepares proposed revision and justification. Obtains coordination and concurrences required by IMP 311.	IA or RM uses Form 2087 (or equivalent). IA approves the revision and its justification. IA or RM clearly indicates changes made. IA signs Step 2, Form 2088.
b	IA, RM, or POL or	Agrees that minor, non-substantive changes are needed.	IA, RM or POL uses Form 2089 for Quick Change. IA signs Step 2, Form 2089 for Quick Change.
c	POL	Makes minor corrections.	Keeps file copy of revisions (ends process).
3 - Endorse			
a	EB or	Agrees that revising the IMP would be in the best interest of the institution.	EB meeting (EB may use PDC or IAB). IA signs Step 3, Form 2088.
b	IA	For minor, non-substantive changes, provides endorsement.	IA signs Step 3, Form 2089 for Quick Change.
4 - Issue			
a	IA or	Signs (issues) revised IMP.	IA signs Step 4, Form 2088.
b	IA or RM	Signs (issues) Quick Change.	IA or RM signs Step 4, Form 2089.
c	POL	Publishes revised MP. Retains documents of record.	On Policy Center . POL records management process.

Chapter 5 – Procedures for Tier 2 Documents: Combined Institutional Policy and Implementation Procedures

Tier 2 Documents – Institutional Policy and Implementation Procedures

An Institutional Policy and Implementation Procedure (IPP) **combines policy and procedure** into one document. This format is often used for personnel or business policies but may be used for any subject. IPPs may apply to the institution as a whole or to broad cross-organizational functions.

Content, IPP

An IPP must clearly **distinguish** between policy and procedure. For an example of an IPP, see the P&PM Manual. See also Table 4, content of IPs, and Table 7, content of IMPs. An IPP is expected to be 10 pages or less.

Table 10 – Content, Institutional Policy and Implementation Procedures (IPPs)

Section	Content
Title	Succinctly captures the main point of the IPP.
Summary	A short overview of the document. Three sentences or less.
INTRODUCTION	
Authority and Applicability	States the authority that allows the IA to issue this document. Identifies the IA , RM , if any, and RO as applicable. States the relationship of the IPP to other policy or procedure documents. <ul style="list-style-type: none"> The IPP must state the driver (why it is needed), and whether the driver is a contact requirement. States to whom , and what work , the IPP applies.
Purpose	States why the IA is issuing the IPP, and what the IPP is intended to accomplish.
POLICY	Clearly states what the policy is.
PROCEDURE	
Overview	Optional. Summarizes the procedure or provides a brief context.
Responsibilities	Who is responsible for implementing the IPP, and what are they responsible for.
Procedure	Step-by-step actions for implementing the procedure. <ul style="list-style-type: none"> May include tables, figures, flow charts, or diagrams. May incorporate industry standards by reference. Detailed descriptions, formats, forms, or similar material may be placed in attachments or appendixes, or moved to a Tier 3 document.
INSTRUCTIONS	
Training	Training or certification needed to implement the IPP, if any.
Requests for Exceptions or Variance	Instructions for requesting and granting an exception or variance to the IPP: <p>If no specific instructions are given for this IPP, the general process in IMP 311 will govern.</p> <p>If the IPP provides specific instructions, it must state:</p> <ul style="list-style-type: none"> How the authority to grant exceptions or variance was delegated from the Director. How a request will be submitted and considered.
Documents and Records	Instructions for acquiring and maintaining records (hard copy or electronic) pertaining to this IPP. <ul style="list-style-type: none"> Office of record for this IPP. List of documents, if any, that will be generated by implementing the IPP. Records management procedures for this IPP.
Definitions	For common definitions or acronyms, reference Definition of Terms in the P&PM. <ul style="list-style-type: none"> Submit updates to the P&PM definitions along with IPP. Include in the IPP technical definitions, abbreviations, or acronyms that pertain only to this IPP. Technical definitions may be linked to standards or other technical publications.
History	List: <ul style="list-style-type: none"> Any prior versions of the document (or predecessor documents) that are superseded or modified by the IPP. Any documents rescinded by the IPP.
References	List of references, if any.
Forms	List forms that are to be used with the IPP, including existing forms or new forms.
Attachments or Appendixes	List: <ul style="list-style-type: none"> Any attachments or appendixes that are considered part of the IPP. Any documents included by reference, and provide an electronic link or other access information.

Responsible Parties:
Tier 2 – IPP

IA Director or EB member

RM Relevant DL

RO Relevant group (optional)

Endorser EB

Preparing and issuing an IPP

Who: IPPs, like IMPs and IPs, are prepared and issued by an AD or other EB member. The IA (AD) may delegate responsibility to prepare the document to an RM, but not the authority to approve the document. The IA or RM may enlist the assistance of an RO for subject matter expertise.

When: The IA, RM, or POL may initiate a new IMP at any time. Any employee may suggest a new IPP at any time.

How: IPPs are prepared and issued following the same four-step process used for IPs and IMPs. For detailed instructions for preparing an IPP, follow the instructions in Chapter 4, [Preparing and issuing an IMP](#), and [Table 8](#). The IA or RM documents coordination and concurrence required by IMP 311 on [Form 2087](#), *Step 2 Worksheet: Coordination and Justification, Institutional Policies and Procedures*, and the IA documents approval of each step of the four-step process required by IMP 311 on [Form 2088](#), *Approvals – Institutional Policies and Procedures*. The IA may provide POL with equivalent documentation in lieu of Form 2087.

Revising an IPP

Who: The IA is responsible for revising an IPP. Any worker may recommend that an IPP be revised or improved.

When: The IA, RM, or POL may initiate a revision at any time, in response to an internal or external trigger or an employee suggestion. The IA, or RM if delegated, must review the IPP at least every three years in accordance with IMP 311.

How: IPPs are revised in the same way as IPs or IMPs. For detailed instructions for revising an IPP, follow the instructions in Chapter 4, [Table 9](#), for revising IMPs. The IA or RM normally prepares a revision using the same four-step process as for new documents, using [Form 2087](#) (or equivalent documentation) and [Form 2088](#). The IA, RM, or POL may make minor, non-substantive changes at any time, using “Quick Change” [Form 2089](#). POL has the authority to correct errors or make minor changes for formatting or consistency, or revise references to other policy or procedure documents (such as IPs or ISDs), without using Form 2089.

Chapter 6 – Procedures for Tier 2 Documents: Notices

Tier 2 Documents – Notices

A Notice (N) provides **information or direction to workers** to address a short-term or interim need. Unless otherwise stated, Notices apply to the institution as a whole. However, Notices also may apply to broad cross-organizational functions or specific target audiences (such as all Electrical Safety Officers).

Content, Notices

A Notice provides **short-term or interim instruction** in response to a specific situation, such as a seasonal change in procedure or a change in a regulation that must be accommodated before a revision to an IMP can be prepared. For an example of a Notice, see P&PM. Notices are expected to be 3 pages or less. A Notice that addresses an urgent situation may include a banner or headline to call attention to the situation, such as banner stating “Fire Restrictions.”

Table 11 – Content, Notices

Section	Content
Title	Succinctly captures the main point of the Notice.
Summary	A short overview of the document. Three sentences or less. Prior material (IP, IMP, etc.) that the Notice changes, if any.
Authority and Applicability	States the authority that allows the IA to issue this document. Identifies the IA , RM , if different from the IA, and RO as applicable. States driver for the Notice (why it is needed), and whether the driver is a contract requirement. States to whom , and what work , the Notice applies.
Purpose and Justification	States why the IA is issuing Notice, and what implementing the Notice is intended to accomplish. States why implementing the Notice would be in the best interest of the institution.
Procedure	Actions to be taken, and responsibilities . A Notice that changes an IP, IMP, IPP, ISD, or another Notice must clearly identify what has been added, deleted, etc. to the original document.
Exceptions and Variances	How to obtain an exception or variance from the Notice, if different from the process provided in IMP 311.
Sunset clause	Length of time the Notice will be in effect, or expiration date. <ul style="list-style-type: none"> The Notice may not be issued for a period of greater than one year. The Notice may be renewed by the IA for a period not to exceed 12 months total.
Contacts	IA, RM if different from the IA, and RO.
Optional	A Notice may also include the following sections: <ul style="list-style-type: none"> General provisions Responsibilities Training Standards References Definitions Other material if relevant:

Responsible Parties:
Tier 2 – N

IA RM or higher-level manager

RM Relevant DL (usually the RM is the IA)

RO Relevant group (optional)

Endorser IA's line manager (usually the RM's AD)

Preparing and issuing a Notice

Who: Notices are prepared and issued by an IA who generally is a division level manager (such as an RM). A Notice is endorsed by the IA's line manager, who generally is an AD. The IA (normally the RM) may enlist the assistance of an RO for subject matter expertise.

When: The IA (normally the RM) or RO may initiate a new Notice at any time.

How: Notices are prepared and issued following the same four-step process used for IPs and IMPs. IA documents coordination, concurrence, and approvals required by IMP 311 on [Form 2089](#), *Approvals – “Quick Changes” or Notices*.

Table 12 – Preparing and issuing Notices

Step	Who	What	How
1 - Initiate			
	IA (RM) or RO	Identifies the need for a Notice	IA approves the idea.

Table 12 – Preparing and issuing Notices

Step	Who	What	How
		(driver).	IA signs Step 1, Form 2089.
2 - Prepare			
a	IA or RM	Informs POL that a new Notice will be prepared	Provide POL with a copy of Form 2089 with Steps 0 and 1 completed.
b	IA or RO	Prepares text of Notice. Prepares justification. Obtains coordination and concurrences required by IMP 311.	IA completes Step 2, Form 2089.
3 - Endorse			
	IA's manager (AD)	Agrees that implementing the Notice would be in the best interest of the institution	AD signs Step 3, Form 2089.
4 - Issue			
a	IA	Signs (issues) the Notice.	IA signs Step 4, Form 2089.
b	POL	Publishes the Notice. Retains documents of record.	On Policy Center . POL records management process.

Revising a Notice

Who: The IA is responsible for revising a Notice. Any worker may recommend that a Notice be revised, improved, or rescinded.

When: The IA, RO, or POL may initiate a revision at any time, in response to an internal or external trigger or an employee suggestion.

How: The IA or POL revises the Notice using “Quick Change” [Form 2089](#). (The Form 2089 submitted with the original version may not be revised.)

- A Notice may be revised only if it is in the best interests of the institution to do so.
- The revised Notice must clearly indicate the change from the prior version.
- POL may make minor, non-substantive changes to a Notice at any time to correct errors, edit, or re-format the document without using Form 2089.

Renewals and Expired Notices

A Notice must have a “**sunset clause**” or an **expiration date**.

- **Example sunset clause:** This Notice will remain in effect for one year from the issue date.
- **Example expiration date:** This Notice expires on July 14, 2006.

An IA may **renew** a Notice, if needed, up to a total period of not more than 12 months after the original issue date.

- If the IA anticipates that a Notice will be needed for longer than 12 months, the IA may consider preparing an IP, IMP, or ISD as appropriate, or initiating a revision to an existing document.
- If the Notice is to remain in effect after 12 months, it must be endorsed by the EB. The IA may seek EB endorsement as provided in Chapter 4 for IMPs. If the IA fails to take action, POL may request EB endorsement on behalf of the institution, or may request the EB to rescind the Notice.

POL retains the right to **remove expired** Notices from the Policy Center. POL will notify the IA one month before a Notice expires or its sunset clause runs out.

Chapter 7 – Procedures for Tier 2 Documents: Director's Instructions

Tier 2 Documents – Director's Instructions

A Director's Instruction (DI) provides a formal means for the **Director** to issue instructions to LANL employees about policy-related matters. DIs are generally issued in response to a specific situation. A DI may be issued as short-term instruction, as an interim measure until an IP, IMP, or IPP can be revised, or may be issued to provide long-term instruction.

Content, DI

The Director issues a DI to give **specific, policy- or procedure-related instructions** to LANL workers. The DI may:

- establish the Director's expectations
- establish or change policy
- provide new or revised procedures
- explain or augment existing policy or procedures
- provide detailed work instructions
- put a temporary measure into place
- adopt a UC policy or directive
- provide information or instruction on other matters

The Director does not need to issue a DI to start a new initiative, provide personal philosophy, provide general information, or give one-on-one instructions or directions to subordinates. For an example of a [DI](#), see P&PM. DIs are generally 5 pages or less.

Responsible
Parties:
Tier 2 – DI

IA Director

RM Relevant
DL

Endorser
Not needed;
however,
Director
may seek
EB en-
dorsement

Table 13 – Content, Director's Instructions (DIs)

Section	Content
Title	Succinctly captures the main point of the DI.
Summary	A short overview of the document. Three sentences or less. Prior material (IP, IMP, etc.) that the DI changes, if any.
Applicability	States to whom , and what work , the DI applies.
Justification	States why the Director is issuing the DI, and what implementing the DI is intended to accomplish.
Instruction	Actions to be taken, and responsibilities . A DI that changes an IP, IMP, IPP, ISD, or another DI must clearly identify what has been added, deleted, etc. to the original document.
Contacts	RM, RO, or other office as applicable.
Signatures	POL reviews for form and consistency, and signs. Director signs (issues) the DI.
Attachments or Forms	As needed.

Preparing and issuing a DI

Who: The Director issues DIs. A DI may be prepared by POL, serving as the Director's staff, or by an RM or RO with subject matter expertise, in coordination with POL.

When: The Director may issue a DI at any time. Generally a DI responds to a specific situation.

How: The office preparing the DI is responsible for obtaining the concurrences required by IMP 311 (LC, CSO, and CFO), the endorsement of the responsible AD, and POL review. The Director or the AD may request additional concurrence from affected managers. The Director or the AD may request that the issue covered by the DI be considered by the EB prior to issuing the DI. [Form 1824](#), the Director's *Signature/Review/Coordination Sheet*, is used to provide the administrative record of review and concurrence, following Director's Office procedures. POL retains the right to format, revise, edit, or correct the draft DI.

Table 14 – Preparing and issuing DIs

Step	Who	What	How
1 - Initiate			
	Director or AD	Identifies the need for a DI (driver).	Discussion with Director's Office.
2 - Prepare			
a	Director or AD	Informs POL that a new DI will be prepared	Discussion with POL, or e-mail.

Table 14 – Preparing and issuing DIs

Step	Who	What	How
b	RO or POL	Prepares text of DI.	Use DI Template (from POL).
b	RO or POL	Obtains coordination and concurrences required by IMP 311.	Form 1824.
3 - Endorse			
	AD	Commits to implement DI.	AD signs Form 1824.
4 - Issue			
a	Director	Signs (issues) the DI.	DI document.
b	POL	Publishes the DI. Retains documents of record.	On Policy Center . POL records management process.

Revising a DI

Who: A DI may be revised only by the Director. This applies to changes to DI attachments, schedules, or forms, as well as the text of the main document.

When: The Director may revise a DI at any time. If POL, the RM, or the RO is aware that a change is needed, they may discuss this with the Director's Office to start the revision process.

How: A DI may be revised by replacing it with a new document, or by issuing a revision.

- To revise a DI follow the same steps as preparing a new DI; see [Table 14](#).
- The revised DI must clearly state what has changed from the prior version.
- POL retains the authority to make minor, non-substantive changes to a DI at any time, as needed.

Chapter 8 – Procedures for Tier 2 Documents: Implementation Support Documents

Tier 2 Documents – Implementation Support Documents

An Implementation Support Document (ISD) provides additional or supplemental implementation procedures, and guidance or information to support a Tier 2 document. An ISD may not establish policy, nor prescribe measures not addressed in the document it supports.

Content, ISD

An ISD may contain:

- detailed direction
- work instructions
- standards
- guidance
- supplemental information
- forms or other tools to implement actions
- links to web pages (external or internal)
- illustrations or examples
- other material as needed to help implement the document it supports

An ISD may incorporate other documents by reference, such as industry manuals or standards. The material in an ISD may be new or may have been previously published internally or externally as a manual, handbook, bulletin, or other internally or externally generated documents. Often there is a one-to-one correlation between an ISD and the IP, IMP, or IPP it supports; however, an ISD may support more than one document, or an IP, IMP, or IPP may be supported by multiple ISDs.

An ISD may be prepared to replace a prior LANL manual, standard, handbook, plan, memorandum, procedure, checklist, or similar document. If so, the ISD must reference under “document history” what document is being replaced, and transition time if any.

An ISD may include a formal change control process unique to that ISD. If no change control process is specified, the ISD may be revised only if the process in IMP 311 is followed.

Format

For an example of an ISD, use this document. Because content and format for an ISD may vary widely, no required format or list of contents is provided here. There is no specific recommended page length for an ISD. However, an ISD must:

- Follow the same plain language writing standards provided for other policy or procedure documents (see [Chapter 1](#)).
- Provide an introductory statement of how it relates to the document or documents it supports.
- Provide full titles and location or access information for any material referenced or incorporated by reference. These may be electronically linked (see below).

Links

The ISD may contain “clickable” hot links or url addresses of related or reference material published on the internal or external web. The ISD:

- **must** provide links to the document (IP, IMP, IPP) or documents it supports.
- **must** provide links to LANL Tier 1 or 2 policy documents referenced.
- **must** provide links to LANL Tier 3 documents referenced, if they are available in electronic format.
- **may** provide links to industry standards, manuals, or similar material.
- **may** provide links to reference material, including websites.

The IA or RM **must** provide POL with the information necessary to include links to the new ISD from the IP, IMP, or IPP supported by the ISD.

Preparing and issuing an ISD

Who: ISDs, like IPs and IMPs, are initially issued by an AD or other EB member. The IA (AD) may delegate responsibility to prepare the ISD to an RM, but not the authority to approve the document. The IA or RM may enlist the assistance of an RO for subject matter expertise.

Responsible Parties:
Tier 2 – ISD

IA Director or EB member

RM Relevant DL

RO Relevant group (optional)

Endorser EB

When: Ideally an ISD is prepared, approved, and issued concurrently with the Tier 2 document it supports. The IA, RM, or POL may initiate a new ISD at any time. Any employee may suggest a new ISD at any time.

How: ISDs are prepared and issued following the same four-step process used for IMPs. The IA or RM documents coordination and concurrence required by IMP 311 on [Form 2087, Step 2 Worksheet: Coordination and Justification, Institutional Policies and Procedures](#), and the IA documents approval of each step of the four-step process required by IMP 311 on [Form 2088, Approvals – Institutional Policies and Procedures](#). The IA may provide POL with equivalent documentation in lieu of Form 2087.

- If an ISD is prepared **concurrently** with the Tier 2 document it supports, the IA may obtain coordination, concurrence, and approval for the ISD along with the supported IP, IMP, or IPP, using the same Form 2087 (or equivalent) and Form 2088. Forms 2087 (or equivalent) and Form 2088 must clearly state that they cover both documents.

Table 15 – Preparing and issuing Implementation Support Documents (ISDs)

Step	Who	What	How
1 - Initiate			
a	IA or RM	May initiate a new ISD at the same time as a new IP, IMP, or IPP or May initiate a new ISD after the document it supports is issued. May initiate a new ISD in response to an employee suggestion.	IA agrees to commit resources to prepare the ISD. IA authorizes RM to prepare the ISD. IA signs Step 1, Form 2088.
2 - Prepare			
a	IA or RM POL	Informs POL that a new ISD will be prepared Adds ISD to the master schedule.	Provide POL with a copy of Form 2088 with Steps 0 and 1 completed. On-line.
b	IA, RM, or RO	Prepares text of proposed ISD.	As appropriate.
c	IA, RM, or RO	Optional: gains worker input, documents issues raised and outcome. If POL requested to circulate draft for review and comment.	IA or RM uses Form 2087 (or equivalent). Provide POL with electronic MSWord file of draft. POL uses internal process.
d	IA, RM, or RO	Prepares justification for ISD. Obtains coordination and concurrences required by IMP 311.	IA or RM uses Form 2087 (or equivalent)
e	RM IA	Submits proposed ISD and justification to IA. Accepts ISD and justification. or	IA or RM signs verification, Form 2087. RM signs Step 2, Form 2088. IA approves the content of the ISD and its justification. IA signs Step 2, Form 2088.
f	IA	IA rejects proposed ISD.	Returns ISD to RM with instructions.
3 - Endorse			
a	IA or RM	Requests EB review and endorsement. Schedules EB review	Director's Form 1884, EB Decision Form . Include as read-ahead: <ul style="list-style-type: none"> ▪ Completed Form 2087(or equivalent) with justification. ▪ Form 2088 with Steps 0 - 2 signed. ▪ Proposed ISD. ▪ The IP, IMP, or IPP that the ISD supports. ▪ If the ISD was previously published as a LANL manual, standard, handbook, etc., a copy of the prior document that the ISD will replace. ▪ A copy of any material incorporated by reference (e.g. an industry standard) With Director's Office.
b	EB	Reviews read-ahead, Step 3a. EB may: <ul style="list-style-type: none"> ▪ Act through "consent calendar." ▪ Request a full presentation. Acts on request by consensus.	Records decision on Form 1884 (or equivalent).
c	EB IA or RM	EB may request that item be reviewed by the IAB or another council. Schedules with IAB or other council.	Director's Office informs IA or RM. Per IAB or other council process.

Table 15 – Preparing and issuing Implementation Support Documents (ISDs)

Step	Who	What	How
	EB	May adopt endorsement of IAB or other council, or act per Step 3b.	Director's Office informs IA or RM.
d	IA	Verifies EB endorsement.	Signs Step 3, Form 2088.
4 - Issue			
a	IA	Decides whether to: <ul style="list-style-type: none"> ▪ Issue ISD or ▪ Reject ISD. 	If issues document, signs Step 4, Form 2088. If rejects document, notifies RM, EB, and POL.
b	IA or RM	Provides ISD and its administrative record to POL.	Provides <ul style="list-style-type: none"> ▪ Final hard-copy of document as issued by IA. ▪ Completed Form 2088 with all signatures. ▪ Completed Form 2087 with all signatures (or equivalent documentation). ▪ Electronic MSWord file of ISD as issued (signed).
c	POL	Publishes ISD. Retains documents of record. Enters ISD onto master review calendar.	On Policy Center . POL records management process. POL internal scheduling process.
d	IA, RM or RO	May link to the ISD published on the Policy Center. May not publish or maintain the document on a different website.	Standard web processes.

Revising an ISD

Who: The IA is responsible for revising an ISD. Any worker may recommend that an ISD be revised or improved.

When: The IA, RM, or POL may initiate a revision at any time, in response to an internal or external trigger or an employee suggestion. The IA, or RM if delegated, must review the ISD at least every three years in accordance with IMP 311.

How: The IA, or RM may revise an ISD following the four-step process as for new documents, using [Form 2087](#) (or equivalent documentation) and [Form 2088](#). The IA, RM, or POL may make minor, non-substantive changes at any time, using “Quick Change” [Form 2089](#). POL has the authority to correct errors or make minor changes for formatting or consistency without using Form 2089.

Following a Change Control Process

The IA or RM may establish a change control procedure that is unique to the ISD, as long as it is clearly spelled out in the ISD at the time it is reviewed for endorsement by the EB, and meets the coordination and review requirements of IMP 311. At the time the ISD is reviewed by the EB, the EB may:

- endorse the content of the ISD and agree to the proposed change control process.
- endorse the content of the ISD except for the proposed change control process.
- deny endorsement of the ISD, including the proposed change control process.

If a unique change control process is established, the IA may delegate to the RM:

- the responsibility and the approval authority to maintain the ISD.
- the responsibility for the content of the ISD.
- the responsibility for providing POL with an administrative record of changes, and electronic MSWord files of the revised document.

However, the IA remains ultimately responsible for the ISD. The IA or the RM may delegate responsibility for preparing ISD changes to the RO, but not the authority to approve them.

The change control process must explain:

- Who is authorized to change the ISD, and under what conditions.
- How that authority is delegated from the IA (delegation must be in writing).
- The change control process.
- How proposed changes will be justified as being in the best interest of the institution.
- Records for the change control process.
- The process for change control for other related internal or external documents, if applicable.
- How often the ISD will be reviewed to keep it current. In no case may the review cycle be greater than three years.

When an ISD is revised, the IA, or RM if delegated, must provide to POL:

- The revised document (hard copy and electronic file in MSWord).
- Written evidence that the IA, or RM if delegated, approved the revision, and the issue date of the revision (Form 2088, Form 2089, or as provided by the unique change control process for the ISD).
- A synopsis of the change.

Chapter 9 – Procedures for Tier 3 Documents

Tier 3 Documents

Managers at the **group level or above** may issue Tier 3 documents as needed to instruct or guide the work of their organization. Facility or program managers, including Facility Managers (FMs), Operations Managers (OMs), and Responsible Division Leaders (RDLs), also may issue Tier 3 documents.

- Tier 3 documents apply to specific organizations, functions, or work activities.
- Tier 3 documents may be targeted to workers who implement a specific function in organizations across the institution, such as division security officers.
- A Tier 3 document is not needed if duties have already been formally assigned in another way.
- Protocols, guidelines, or instructions issued by principal investigators, experimenters, team leaders, or others who are not managers are **not** Tier 3 documents.

Content, Tier 3 documents

Types of Tier 3 Documents

Tier 3 documents broadly fall into three categories: Work Instructions (WI), best practices, and standards. Tier 3 documents may have titles such as plans, handbooks, checklists, desk manuals, or standard operating procedures. A Tier 3 document may:

- Explain how Tier 2 documents will be carried out within the organization.
- Provide detailed instruction or guidelines on how to perform specific aspects of work.
- Define specific standards, measures, criteria, or acceptable methods.
- Adopt UC or industry standards or practices.

Content and format

Content and format for a Tier 3 document vary widely.

- Tier 3 documents **may** be called Work Instructions or carry some other title.
- Tier 3 documents **must not** establish institutional policy or procedures.
- Tier 3 documents **must not** provide instruction or guidance that conflicts with the provisions of law, the prime contract, or Tier 1 or Tier 2 documents.
- The Tier 3 document **must** prominently include the IA's title, signature, and issue date.
- **Recommendation:** Tier 3 documents be prepared and managed to the standards for Tier 2 documents regarding general format, plain language, reference material, and ease of access.

Preparing, and issuing a Tier 3 document

The IA for a Tier 3 document may be any line, program, or facility manager at the group level or above.

The IA may modify the four-step process (see [Figure 1](#)) to best meet the needs of the organization.

- Any document that directs or guides work or commits LANL resources must be issued by an IA with the authority to make that commitment.
- The IA is responsible for maintaining records relating to the development, review, revision, maintenance, implementation, or rescission of Tier 3 documents.
- If a proposed Tier 3 document would apply to workers outside IA's span of control, the IA must first coordinate with managers of affected personnel to make sure that resources are available.

The IA's manager must endorse a Tier 3 document before it is issued.

- Endorsement ensures that funds, time, and effort will be available to implement the document.
- Endorsement must be in writing, with an original signature.
- If the IA is an AD, Program Director, or RDL, endorsement is not needed if implementing the document would affect only personnel within their organization.
- For other IAs, the endorser may waive the need for endorsement on either a case-by-case basis, or on a standing basis for specific types of documents or instructions.
- Waivers must be in writing, specify the document name, type, or series, for a period not to exceed three years. Waivers may be renewed.

POL reserves the right to review any Tier 3 document. Upon POL's request, the IA of a Tier 3 document must provide a copy to POL.

Revising a Tier 3 document

An IA may revise a Tier 3 document at any time. A Tier 3 document generally is revised following the same process used to issue it. The IA, or RO if delegated, must review the ISD at least every five years in accordance with IMP 311.

Responsible Parties:
Tier 3 – WI or other title

IA
Any named manager, group level or above

RM
Relevant DL

RO
Relevant group (optional)

Endorser
IA's manager (may be waived on a standing or case-by-case basis)

Other Considerations

Overview

There is more to implementing a Tier 1, 2, or 3 document besides getting it prepared, approved, endorsed, and issued. Authors of LANL policy and procedure documents may want to consider:

- How will workers know about the new procedure?
- How will external stakeholders be involved in preparing a LANL document?
- How long will it take to implement a new procedure?
- How will we know the policies and procedures are being followed? Are effective?

Communicating

Workers need to know when new documents are issued, or when prior ones have been revised. Some policy or procedures documents will generate more interest from the workforce than others. The LANL Public Affairs Office (PA), CER-20, will assist the IA, RM, or author to publicize the document. Communication Arts and Services, Information Management Division (IM-1), is also available to assist with communicating to employees.

Table 16 – Communicating to employees and external stakeholders

If the document will be a ...	Then ...
Routine release	POL will: <ul style="list-style-type: none">▪ notify policy contacts▪ issue a Master Management Memo▪ publish the document on the Policy Center
Release with broad employee interest	At the request of the IA, POL will: <ul style="list-style-type: none">▪ notify employees through a “LANL-All” Memo▪ work with PA to publish a LANL Newsbulletin article (electronic or hardcopy versions) The IA may issue a “LANL-All” Memo.
Release of on-going interest	The RM may contact IM-1 to: <ul style="list-style-type: none">▪ prepare and distribute posters or brochures.▪ assist with putting information on a website.
Release with external interest	At the request of the IA, PA will: <ul style="list-style-type: none">▪ notify public, tribal, or other government stakeholders as appropriate
Controversial topic	At the request of the IA, PA will: <ul style="list-style-type: none">▪ prepare and implement a formal communications plan

Implementation timeframes

The author must consider **how long it will take** to implement the document.

- Do computer systems need to be re-programmed or updated?
- Will organizations need to procure new equipment?
- Are there seasonal or fiscal year timing constraints?
- Are sufficient staff available to carry out the work?

The document may include an implementation schedule.

- **Recommendation:** Schedules with specific dates for implementation often change. Put this type of information in an attachment or companion memorandum instead of in the body of the document.
- **Recommendation:** Use milestones, target dates, or timeframes instead of specific dates.

Monitoring implementation

LANL has several **organizations that audit, assess, or monitor** whether policies and procedures are being followed, and whether LANL actions are in compliance with laws, regulations, and contract requirements.

- POL does not monitor whether or not policies and procedures are being followed.
- POL may monitor whether or not policies and procedures are correct, and are effective.
- Workers may submit comments regarding compliance and effectiveness to POL through the Policy Center website.